#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#### Declaration for Patent Application

## COPY FOR CONTINUING APPLICATION

As a named inventor, I hereby declare that:

 $\,$  My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

	USE OF HEAT SHO	CK PROTEINS TO DEI	LIVER MOIETIES INTO CELLS			
the s	specification of v	which (check one)				
[ ]	is attached here	s attached hereto.				
[X]	was filed on <u>February 18, 1998</u> as United States Applicati					
	Number or PCT In	Number or PCT International Application Serial No. 09/025,178				
	and was amended	on	(if applicable).			
amend	ment referred to I acknowledge th	above. e duty to disclos	ng the claims, as amended by e information which is known in 37 C.F.R. §1.56.		e to	
	I hereby claim f	oreign priority be	enefits under Title 35. Unite	ed St	ates	
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I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information known by me to be material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Ap	plication	Serial No.	(Filing date)	(Status:	patented,	pending,	abandoned
(Ap	plication	Serial No.)	(Filing date)	(Status:	patented,	pending,	abandoned)
(Ap	plication	Serial No.)	(Filing date)	(Status:	patented,	pending,	abandoned)
(Ap)	plication	Serial No.)	(Filing date)	(Status:	patented,	pending,	abandoned)
asso	As a na ociated wi	med invento	r, I hereby appoin	nt the attor	neys and/o	r agents	
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and .							<del></del>
	Send con	respondence	to: <u>Patric</u>	ia Granahan,	Esq.		
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Direct facsimiles to: (781) 861-9540

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole		
or first inventor _	Richard A. Young	
Inventor's Signature	= Wall	Data 4/22/58
•	216 Highland Avenue	_ Date
	Weston, Massachusetts 02193	
	USA USA	
Post Office Address _	Same as above	
	oint	
_	oint .	
Inventor's		
		Date
Post Office Address _		
Full name of third join		
inventor, if any		•
Inventor's		
Signature		Dato
		Date
Citizenship		

### VERIFIED STATEMENT CLAIMING S. LL ENTITY STATUS (37 CFR 1.9(f) & 1.27(d))-NONPROFIT ORGANIZATION



DOCKET NUMBER: 0399.1185-006

46 46

Applicant or Patentee		<u>,</u>		
Serial or Patent No.:_ Filed or Issued:				
Title:		PROTEINS TO DELIVER MOIETIES INT	O CELLS	
NAME OF	am an official empowered to act on NONPROFIT ORGANIZATION	n behalf of the nonprofit organization ident Whitehead Institute for Biom	tified below:	
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		Cambridge, Massachusetts 02	142	COPY OF PAPERS ORIGINALLY FILED
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		entified above qualifies as a nonprofit orgar rademark Office regarding the invention de		n 37 CFR 1.9(e) for purpose
[X] the ap	ecification filed herewith with title plication identified above. ent identified above.	as listed above.		
identified invention. invention must file se other than the invento	If the rights held by the nonprofit of parate verified statements averring r, who would not qualify as an ind	ave been conveyed to and remain with the reganization are not exclusive, each individuate to their status as small entities and that no rependent inventor under 37 CFR 1.9(c) if the terms of the terms	ual, concern or organishts to the inventional person made the	nization having rights in the n are held by any person, invention, or by any concern
[ ] no suc	oncern or organization having any on the person, concern, or organization arch person, concern or organization			
•	StressGen Biotechnologies, Inc. 120-4243 Glanford Avenue Victoria, British Columbia V8Z 4B9 Canada			
I acknowledge status prior to paying, is no longer appropria	or at the time of paying, the earlies	or patent, notification of any change in statust of the issue fee or any maintenance fee du	us resulting in loss o ue after the date on v	f entitlement to small entity which status as a small entity
believed to be true; an by fine or imprisonme	d further that these statements wer nt, or both, under section 1001 of	my own knowledge are true and that all state made with the knowledge that willful fals Fitle 18 of the United States Code, and that any patent to which this verified statement	e statements and the such willful false st	like so made are punishable
NAME OF PERSON	SIGNING	Patricia Granahan, Esq.		
TITLE IN ORGANIZA	ATION OF PERSON SIGNING _	Intellectual Property Manager		
ADDRESS OF PERSO	ON SIGNING	Whitehead Institute for Biomedical Reso Cambridge, Massachusetts 02142	earch, Nine Cambric	lge Center,
SIGNATURE 2	tercialpernation	LU DATE 2/25/01		
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# VERIFIED STATEMENT CLAIMING SALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(c))-SMALL BUSINESS CONCERN



Filed or Issued:    January S. 200	Applicant or Patentee: Richard A. Young Serial or Patent No.: 09/756,543	
PAPER CONTRIBUTION OF THE PAPER CONTRIBUTION	Filed or Issued: January 8, 2001	
an official of the small business concern identified below:  an official of the small business concern empowered to act on behalf of the concern identified below:  NAME of SMALL BUSINESS CONCERN  120-4243 Glanford Avenue  Victoria, British Columbia V&Z 4B9 Ganada  1 hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121, 12 and reproduced in 37 CFR 19(4), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employs of the business concern is the average over the previous fiscal year of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employee of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay persods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern control or has the power to control be other, or a third party or parties controls or has the power to control both.  1 the pay persods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern control or has the power to control be other, or a third party or parties controls or has the power to control both.  1 the paylecation identified above with regard to the invention discribed in the party or parties to the invention of described in:  1 the application identified above.  1 the application identified above.  1 the paptriation identified above.  1 the paptriation identified above.  1 the paptriation identified above.  1 the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in this mention must file separate verified statements average over the ristatus as small entities, and no rights to the invention are rights and the invention are rig		ROTEINS TO DELIVER MOIETIES INTO CELLS
an official of the small business concern identified below:  an official of the small business concern empowered to act on behalf of the concern identified below:  NAME of SMALL BUSINESS CONCERN  120-4243 Glanford Avenue  Victoria, British Columbia V&Z 4B9 Ganada  1 hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121, 12 and reproduced in 37 CFR 19(4), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employs of the business concern is the average over the previous fiscal year of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employee of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay persods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern control or has the power to control be other, or a third party or parties controls or has the power to control both.  1 the pay persods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern control or has the power to control be other, or a third party or parties controls or has the power to control both.  1 the paylecation identified above with regard to the invention discribed in the party or parties to the invention of described in:  1 the application identified above.  1 the application identified above.  1 the paptriation identified above.  1 the paptriation identified above.  1 the paptriation identified above.  1 the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in this mention must file separate verified statements average over the ristatus as small entities, and no rights to the invention are rights and the invention are rig	O. E. J. Colomoba Van	C DF PADED
ANALOR SMALL BUSINESS CONCERN  StressGen Biotechnologies, Inc.  ADQUESS OF SMALL BUSINESS CONCERN  StressGen Biotechnologies, Inc.  ADQUESS OF SMALL BUSINESS CONCERN  Lize-4243 Glanford Avenue Victoria, British Columbia V8Z 4B9 Canada  Increby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121, 12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employes of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern control or has the power to control the other, or a third party or parties controls or has the power to control both.  I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:  [ ] the specification filed herewith with title as listed above. [ ] the application identified small business concern are not exclusive, each individual, concern or organization having rights in tirrention must file separate verified statements avering to their status as small entities, and no rights to the invention are held by any person, other han the inventor, who would not qualify as a miredurify as a fine-dependent inventor under 3 TCFR 1.9(e).  Each person, concern or organization having any rights in the invention is listed below: [ ] no such person, concern, or organization exists. [ X ] each such person, concern or organization organization exists. [ X ] each such person, concern or organization or patent, notification of any change in status resulting in loss of entitlem	The owner of the ameli husiness are it	OnigiNALLY FILE
NAME OF SMALL BUSINESS CONCERN  NAME OF SMALL BUSINESS CONCERN  120-4243 Glanford Avenue  Victoria, British Columbia V8Z AB9 Canada  Thereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employed of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern control or has the power to control the other, or a third party or parties controls or has the power to control both.  I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:  [ ] the specification filed herewith with title as listed above.  [ ] the application identified above.  [ ] the patent identified above.  [ ] the patent identified above.  [ ] If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the invention, who would not qualify as a mid business concern under 37 CFR 1.9(c) if that person made the invention, or by any concern white would not qualify as a small business concern under 37 CFR 1.9(c) if that person made the invention, or by any concern white works are provided to the party of the part	[ Yes an official of the small business concern of	rentified below:
StressGen Biotechnologies, Inc.  ADDRESS OF SMALL BUSINESS CONCERN  120-4243 Glanford Avenue  Victoria, British Columbia V8Z 4B9 Canada  Thereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced feets to the United States Patent and Trademark Office, in that the number of employs of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employs of the concern is the average over the previous fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern control or has the power to control the other, or a third party or parties controls or has the power to control both.  I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:  [ ] the application filed herewith with title as listed above. [ X ] the application identified above. [ X ] the application identified above. [ If the rights held by the above identified above. [ If the rights held by the above identified above. [ If the rights held by the above identified above. [ Y ] the patent identified above. [ Y ] the patent identified above. [ If the rights held by the above identified above. [ Y ] the patent identified above. [ Y ] the rights held by the above identified above. [ X ] the specification file herewith with title as listed above. [ X ] the rights held by the above identified above. [ X ] the rights held by the above identified above. [ X ] the rights held by the above identified above. [ X ] the rights held by the above identified above. [ X ]	14N 0 8 7002 an official of the small business concern en	impowered to act on benalt of the concern identified below:
ADDRESS OF SMALL BUSINESS CONCERN  120-4243 Glanford Avenue  Victoria, British Columbia V8Z 4B9 Canada  Thereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, patient or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern contro or has the power to control the other, or a third party or parties controls or has the power to control both.  I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:  [ ] the specification filed herewith with title as listed above. [ ] I the application identified above. [ ] If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as a small business concern under 37 CFR 1.9(c) if that person made the invention, or by any concern white invention with the invention in the invention in der 37 CFR 1.9(e).  Each person, concern or organization having any rights in the invention is listed below: [ ] no such person, concern, or organization is listed below.  [ ] acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entit	NAME OF SMALL BUSINESS CONCERN	StressGen Riotechnologies Inc
Victoria, British Columbia V8Z 4B9 Canada  I hereby declare that the above identified small business concern qualifies as a small business concern sa defined in 13 CFR 121.12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Pattern and Trademark Office, in that the number of employs of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employs of the concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when cither, directly or indirectly, one concern control or has the power to control the other, or a third parry or parties controls or has the power to control both.  I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:  [ ] the application filed herewith with title as listed above.  [ X ] the application identified above.  [ ] the patent identified above.  [ ] the inplication must file separate verified statements avering to their status as small entities, and no rights to the invention are held by any person, other han the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern whit would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).  Each person, concern or organization having any rights in the invention is listed below:  [ ] to such person, concern or organization is listed below.  [ ] to such person, concern or organization is pattern to the invention and being the invention and being a con	ADDRESS OF SMALL BUSINESS CONCERN	
I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12 and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employed of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern contro or has the power to control the other, or a birth qurry or parties controls or has the power to control both.  I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:  [ ] the specification filed herewith with title as listed above. [ X ] the application identified above. [ X ] the application identified above. [ The rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as a small business concern under 37 CFR 1.9(c) if that person made the invention, or by any concern white would not qualify as a small business concern under 37 CFR 1.9(c) if the person made the invention, or by any concern white would not qualify as a small business concern under 37 CFR 1.9(c) if the person made the invention, or by any concern white would not qualify as a small business concern under 37 CFR 1.9(c) if the person made the invention, or by any concern white and the pay of the person, concern or organization having any rig	TEM & TEN	
No such person, concern, or organization exists.	during each of the pay periods of the fiscal year, and (2) cor has the power to control the other, or a third party or pa  I hereby declare that rights under contract or law ha regard to the invention described in:  [ ] the specification filed herewith with title as [X] the application identified above. [ ] the patent identified above.  If the rights held by the above identified small busin invention must file separate verified statements averring to than the inventor, who would not qualify as an independent	ear of the concern of the persons employed on a full-time, part-time or temporary basis oncerns are affiliates of each other when either, directly or indirectly, one concern controls arties controls or has the power to control both.  The best conveyed to and remain with the small business concern identified above with a listed above.  The sess concern are not exclusive, each individual, concern or organization having rights in the otheir status as small entities, and no rights to the invention are held by any person, other attinventor under 37 CFR 1.9(c) if that person made the invention or by concern which
Nine Cambridge Center Cambridge, Massachusetts 02142  Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their tatus as small entities. (37 CFR 1.27)  I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity tatus prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are elieved to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable y fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the alidity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.  IAME OF PERSON SIGNING  DAVIEL L. KORPOLINSKI  TITLE OF PERSON SIGNING  StressGen Biotechnologies, Inc., 120-4243 Glanford Avenue, Victoria, British Columbii V8Z 4B9 Canada	[ X ] no such person, concern, or organization ex each such person, concern or organization i	xists. Is listed below.
Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their tatus as small entities. (37 CFR 1.27)  I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity tatus prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are elieved to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable y fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the alidity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.  IAME OF PERSON SIGNING  DANIEL L. KORPOLINSKI  ITLE OF PERSON SIGNING  StressGen Biotechnologies, Inc., 120-4243 Glanford Avenue, Victoria, British Columbia.  V8Z 4B9 Canada	Nine Cambridge Center	Research
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity tatus prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are elieved to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable y fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the alidity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.  IAME OF PERSON SIGNING  DANIEL  L. KORPOLINSKI  ITLE OF PERSON SIGNING  StressGen Biotechnologies, Inc., 120-4243 Glanford Avenue, Victoria, British Columbia.  V8Z 4B9 Canada	Cambridge, Massachusetts 02142	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are elieved to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable y fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the alidity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.  IAME OF PERSON SIGNING DANIEL L. KORPOLINSKI  ITLE OF PERSON SIGNING DANIEL L. KORPOLINSKI  OF PERSON SIGNING StressGen Biotechnologies, Inc., 120-4243 Glanford Avenue, Victoria, British Columbia V8Z 4B9 Canada	Separate verified statements are required from each ratatus as small entities. (37 CFR 1.27)	named person, concern, or organization having rights to the invention averring to their
ITLE OF PERSON SIGNING  DANIEL  L. KORPOLINSKI  THE OF PERSON SIGNING  StressGen Biotechnologies, Inc., 120-4243 Glanford Avenue, Victoria, British Columbia  V8Z 4B9 Canada	I acknowledge the duty to file, in this application or pattus prior to paying, or at the time of paying, the earliest of s no longer appropriate. (37 CFR 1.28(b))	patent, notification of any change in status resulting in loss of entitlement to small entity of the issue fee or any maintenance fee due after the date on which status as a small entity
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DDRESS OF PERSON SIGNING StressGen Biotechnologies, Inc., 120-4243 Glanford Avenue, Victoria, British Columbia  V8Z 4B9 Canada	NAME OF PERSON SIGNING DANIEL L	. KORPOLINSKI
V8Z 4B9 Canada	TTLE OF PERSON IF OTHER THAN OWNER	ESIDENT + CEO
	DDRESS OF PERSON SIGNING	StressGen Biotechnologies, Inc., 120-4243 Glanford Avenue, Victoria, British Columbia V8Z 4B9 Canada
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